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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

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CASE: Jakobsson 22-2

TITLE: Methods of Protecting Against Spam Electronic Mail

Assistant Commissioner for Patents
Washington, D.C. 20231
Box Patent Application

SIR:

Enclosed are the following papers relating to the above-named application for patent:

- Transmittal letter (2x) with deposit account authorization
- Title Page, Specification, Claims 1 to 16 & Abstract (22 pages)
- Unexecuted Declaration and Power of Attorney (4 p.)
- 5 sheet(s) of drawing(s) (Figs. 1 to 4)
- Return receipt postcard

CLAIMS AS FILED				
	NO. FILED	NO. EXTRA	RATE	CALCULATIONS
Total Claims	16 - 20=		x \$18=	\$0
Independent Claims	2 - 3=		x \$78=	\$0
Multiple Dependent Claim(s), if applicable			\$260=	\$0
Basic Fee				\$690
			TOTAL FEE:	\$690

Please file the application and charge Lucent Technologies Inc.'s Deposit Account No. 12-2325 the amount of \$690, to cover the filing fee. Duplicate copies of this letter are enclosed. In the event of non-payment or improper payment of a required fee, the

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- Priority is claimed for this invention and application, corresponding application(s) having been filed in on , Application No. .

Respectfully,



Lance J. Lieberman
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Date: March 30, 2000

By Express Mail # EL350351705US

**APPLICATION FOR UNITED STATES
LETTERS PATENT**

METHODS OF PROTECTING AGAINST SPAM ELECTRONIC MAIL

Inventor(s):

**Bjorn Markus JAKOBSSON
Joy Colette MUELLER**

BACKGROUND OF THE INVENTION

1. Field of the Invention

The present invention relates generally to methods for controlling incoming or received electronic mail (email). More specifically, the invention relates to methods for protecting against the receipt of unwanted or "spam" email in a telecommunication system.

2. Description of the Related Art

Email is becoming a crucial tool of daily life. However, a recent upswing in the amount of "spam", i.e. email broadcast advertisements, has caused both considerable congestion on the internet and great concern to internet users, particularly in light of how inexpensive and efficient spamming techniques have become and the ease with which spammers have been able to avoid having their outgoing email traffic filtered out by the intended recipients. The act of sending "junk email", i.e. the mass mailing of unsolicited email messages based on address lists collected from various sources to which receivers of email have supplied their addresses for other purposes, is called "spamming" and threatens to overwhelm the legitimate uses of email.

Spammers avoid filtering by, for example, moving their originating locations from domain to domain or otherwise disguising themselves. Typically, the Standard Mail Transfer Protocol (SMTP) for internet email requires that all email messages contain a header that includes the sender's email address (a "source" address and/or "return" address) and the receiver's email address (a "destination" address). However, it is possible to give incorrect sender information and still have the email delivered. Therefore spammers can simply change the indicated source

address and continue sending unwanted email if a certain receiver decides not to accept incoming email from a certain sender.

As more users rely on email for daily communication, classification of email has taken on added significance. Classification of email messages allows users to treat classes of email differently and the need for classification is growing due to the explosive growth of spamming techniques currently utilized and encountered. This explosive growth is undesirable and potentially dangerous since the reliance on email as a vital form of electronic communication has become so pervasive in society today that its interruption or misuse threatens to stymie all forms of business communication, health care provision, military exchange of information, and the like.

Attempts have been made to design email systems and protocols that will alleviate the problems introduced by and associated with spam email. For example, methods exist for categorizing email which allow unrequested email to be automatically erased without consuming any system resources or user time. However, the model of the spammer assumed by the methods of Gabber et al. is a rather cooperative spammer who is limited to acquiring email addresses of receivers of email by merely purchasing lists of email addresses or acquiring them from newsgroups and the like. Thus, should a spammer become more militant, i.e. devise new strategies of acquiring email addresses, it is likely that the methods taught by Gabber et al. will be ineffective to prevent spamming.

Other attempts to prevent unwanted email include filtering the email according to the sender's address and according to recognized message and subject keywords. However, this is inefficient and easily thwarted by adversaries who intentionally avoid particular keywords that

are known to be blacklisted, and/or who camouflage certain blacklisted source addresses or domains. Another currently-employed solution is to use electronic mail channel identifiers wherein a receiver assigns a different channel to each known sender by giving each of them a unique email address at which to contact the receiver. In this scheme, incoming mail gets sorted or rejected according to the address to which it is sent and the sender from which they originate. Other related attempts to prevent spamming have also been employed, but all of these approaches fail to effectively prevent the militant spammer from sending junk email that reaches an intended recipient's in box.

As internet technologies become more sophisticated over time, so will the efforts and knowledge of spammers desiring to send their messages indiscriminately through all of cyberspace. It is envisioned that spammers will soon have the ability to control the communication media of interest and be capable of corrupting large numbers of email protocol participants. This will allow such abusers of email systems to corrupt the email systems with abandon for their own selfish motives, and to the general detriment of all users of the systems. It would be desirable if these untoward results could be avoided.

Accordingly, there is a long-felt, but unresolved, need in the art for methods of preventing militant spammers from corrupting email systems with unwanted, junk email. These methods should be versatile and easy to implement in current email systems. Furthermore, it would be desirable if these methods shifted the computational and bulk storage requirements of implementing such methods back onto the spammer so as to alleviate for the potential receiver of the spam email the expense of fighting off unwanted spam attacks. Such results have not heretofore been achieved in the art.

SUMMARY OF THE INVENTION

The aforementioned problems are solved, and long felt needs met, by methods provided in accordance with the present invention for preventing receipt of unwanted email sent by senders in a communication system. The inventive methods determine whether a sender is a registered sender of email to a particular recipient or receiver to which the sender desires to send email. A sender becomes a registered sender by paying a price which will allow the sender to become a registered sender to the receiver. The price may be a monetary price, or some other computationally related price which is a function of the reservation of system resources. It may simply involve to register with some facility that monitors spamming and only certifies non-spammers, and refuses to renew certification of know offenders. Users registering may have to pay a deposit that is only returned if they are not found to abuse system resources. All email to the particular receiver that originates from senders that are not registered senders to the particular receiver are then weeded out at a gateway of the receiver of the communication system. All other email that originates from registered senders of email to the particular receiver is passed to the particular receiver.

The methods of preventing spam email in accordance with the present invention are efficient and computationally non-intensive, thereby conserving the resources of the communication system. Moreover, the inventive methods provide authenticity verification of the email with very little extra computational costs. Additionally, the methods of the present invention achieve message privacy using standard encryption methods and successfully manage data transmission problems associated with sending sensitive information by email. Such features, benefits and advantages have not heretofore been achieved in the art.

These and other features of the present invention will become apparent from the following detailed description considered in conjunction with the accompanying drawings. It is to be understood, however, that the drawings are designed solely for purposes of illustration and not as a definition of the limits of the invention, for which reference should be made to the
5 appended claims.

BRIEF DESCRIPTION OF THE DRAWINGS

In the drawings, wherein like reference numerals identify similar elements throughout the several views:

Figure 1 is a block diagram of an email system for filtering spam in accordance
5 with the present invention;

Figure 2 is a flow chart of a preferred method of preventing the undesired receipt of spam email in accordance with the invention;

Figure 3 is a flow chart of an alternate method of preventing undesired receipt of spam email; and

Figure 4 is a flow chart of yet a further alternate method of preventing undesired receipt of spam email in accordance with the invention.

DETAILED DESCRIPTION OF THE PRESENTLY PREFERRED EMBODIMENTS

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Referring now to the drawings, by way of preferred and illustrative example Figure 1 depicts an email system 10 that can be corrupted by spam email, hereinafter referred to as "spam", by an adversary 20. Adversary 20 is any party that may corrupt a number of participants 30 in the email system 10. A participant 30 includes senders of email 40 and receivers of email 50. The senders 40 and receivers 50 may alternate these roles since each can both send and receive email in a typical email system. In accordance with the inventive methods, the senders 40 and receivers 50 can be modeled as a computational entity which in a preferred embodiment is a computer chip, smartcard, personal computer, laptop computer or any other device that has computational ability and can send or receive emails. These entities will simply be referred to as "computers" throughout.

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When the computer operates on the email sent by the sender 30 or receiver 40 it is received and presented to a sender user 50 or receiver user 55 depending upon which user 50, 55 sent the email. Users 50, 55 with access to computers that correspond to sender 30 or receiver 40. In a preferred embodiment, for a user 50, 55 to be presented with an email M in accordance with the invention and with a label describing its sender 30 (or receiver 40 in the sending mode), M must first be accepted by the user 50, 55 after it is verified that the sender 30 has paid an applicable and required setup cost, price or fee as will be described in further detail below. Conversely in accordance with the inventive methods, for the receiver 40 to accept e-mail M from a sender 30, an entry describing the user sender must appear in a list of allowed or wanted senders 30 in a database that the receiver keeps. When a sender 30 appears on the list, a message authentication code (MAC) appended to the sender's M message will allow the message M to be

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received by receiver 40. This can be thought of as a secret password specific to the sender, receiver, and the sent email, and which only a sender who is registered can generate. More specifically, and as known in the art, a MAC is a keyed one-way function of an input wherein a secret key is known by both the generator and the verifier of the MAC. The validity of a MAC relies on knowing the secret key. MACs are known to those skilled in the art and have been utilized in the past to authenticate email messages. They have not been used to avoid spam or categorize incoming email. Descriptions of senders and users 30, 40 are added to this list by paying (or otherwise meeting) the associated setup costs, but may be removed from the list if the receiver 40 so decides. When this occurs, no more messages from sender 30 will be accepted by receiver 40.

It is envisioned that adversaries 20 and their computers 60 will become far more sophisticated in the near future and will thus have the ability to control a communication channel and therefore may remove or inject spam at will into the channel. Also, adversaries 20 may prepare a large number of messages before attempting a spam attack.

The goal of the adversary 20 is to make some k non-corrupted participants 30, denoted R_1, \dots, R_k , accept each message M_1, \dots, M_k wherein these messages are chosen by adversary 20 without the adversary having to pay a total cost close to or exceeding $(k-k')C$, where k' is the number of the messages labeled as being sent by a participant 30 that has been corrupted and C is the setup cost. In simpler terms, he wants to send messages without paying the full fee. This formulation is denoted as a "spamming attack". Another goal of adversary 20 is to cause receiver 40 (or sender 30) to accept an email M and present it as originating from a non-corrupted sender S when, in fact, the e-mail M did not originate from S . Yet

another goal of adversary 20 is to convince a non-corrupted participant that message M was sent by a non-corrupted sender S to some potentially corrupted receiver, thereby violating the sender's privacy. Finally, the adversary 20 wishes to determine whether a first message M₁ or a second message M₂ was sent between two non-corrupted participants, thereby violating the privacy of the message itself. The inventive methods herein disclosed advantageously thwart all of these goals of an adversary 20 with a minimum of computational expense.

In accordance with the inventive methods, an authentication mechanism for email is employed which can both validate and authenticate transmitted email. Preferably, a MAC based on a keyed cryptographic hash function h is used where the key is known only by the sender and the intended receiver(s). An adversary will not be able to determine whether a given string is a valid MAC on a given message m unless the adversary obtains access to the given key. This is true even after an arbitrary number of MACs for chosen messages other than m have been examined by the adversary.

The methods of the present invention can be implemented by a software program that runs on a standard, general purpose digital computer associated with the email system of Figure 1. Alternately, a software program embodying the inventive methods can be loaded or "burned" into a memory device such as a read-only memory (ROM) or programmable ROM (PROM) so that the methods can be executed therefrom. All such embodiments and equivalents thereof are within the intended scope of the present invention. Those skilled in the art will recognize that a server may be used to implement the software methods described herein and that the software to perform the methods may be placed in a ROM, EPROM or other memory device. The software may comprise separate modules to perform the required functions. Without respect

to which of these methods is employed to execute the program, Figure 2 depicts a preferred flow chart of the program flow of the inventive methods.

The method begins at step 70 and, at step 80, a request for email setup is initiated by a sender S. At step 90, S receives R's public key y_R which is a public key encryption key. Any public key system that is secure against adaptive chosen message attacks (which is a description known to those skilled in the art) may be used, such for example as that described in R. Rivest et al., "A Method for Obtaining Digital Signatures and Public-Key Cryptosystems," Communications of the ACM, v. 21, n. 2, pp. 120-126 (1978), the teachings of which are expressly incorporated herein by reference. Another preferred public key encryption method that may be used in the inventive methods is described in T. ElGamal, "A Public-Key Cryptosystem and a Signature Scheme Based on the Discrete Logarithm," Advances in Cryptology - Proceedings of Crypto'84, pp. 10-18 (1984), the teachings of which are also expressly incorporated herein by reference. At this point in the inventive methods, the email is not delivered, but is preferably bounced back to the sender with a return message, URL, homepage or ftp address from which the appropriate software to perform the remainder of the inventive method is obtainable or downloaded or downloadable. A "core address" is a standard email address known to those with skill in the art. An extended email address as taught by Gabber et al. is an email address with an extra field that is used to categorize emails and avoid spam. In a preferred embodiment, the extension is the MAC described above and can also be located in another portion of the email package sent over a network.

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A "registration" process is then preferably implemented. At step 100 it is determined whether the email from sender S is "cash valid", that is whether the required setup cost has been paid or satisfied by sender S so that user receiver R can receive the email sent by sender S. If so, then the method proceeds to step 130 wherein the email is further processed as described hereinbelow. Otherwise, sender S sets up a "cookie" using a stream cipher generated pad P at step 110 and sends them to user receiver R so that user receiver R can decide whether it wishes to receive email from this particular sender S. A setup cookie is simply a message that provides evidence that an initiator of the cookie paid the required setup cost or that it will be possible to force sender S to pay the setup cost. The cookie can be for example a straight monetary amount, or a puzzle that sender S has solved in order to be allowed access to this particular receiver R. The stream cipher generated random sequence or "pad", P is preferably generated using a pseudorandom function that uses a keyed hash function h on an input that is a unique serial number, thereby encrypting the particular receiver R's email relationship with this particular sender S. While it has been found that a pseudorandom generator works efficiently for the inventive methods, other methods of generating identifiers may also be used. Alternately, instead of using a pad P as above in which the reply is encrypted, sender S may send the email encrypted using a public key as described above and as known in the art. In this modification, receiver R should sign the key using a digital signature method known in the art before sending it in order to avoid undetectable replacement of the public key by an adversary.

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Receiver R then verifies the correctness of the cookie and, at step 120, selects a symmetric key, K_{RS} , uniformly at random from a set of possible keys at receiver R's disposal. Preferably, a symmetric key K_{RS} and corresponding methods is used since such a key and such

methods ensures privacy. A symmetric key and method of this nature is described in NBS FIPS Pub 46-1, "Data Encryption Standard, " U. S. Department of Commerce (1988), the teachings of which are expressly incorporated herein by reference. Other schemes with similar functionality can be used as understood by these skilled in the art.

5 After the symmetric key is selected by receiver R, receiver R preferably adds redundancy to key K_{RS} by replying to sender S using a public extension on receiver R's address appended solely for the purpose of setup. Sender S then computes key K_{RS} and verifies that no errors occurred in the transmission of the setup protocol. Sender S then stores key K_{RS} in a list of all such access keys, thereby allowing future emails from sender S to receiver R to be processed using this key.

10 In a preferred embodiment, key K_{RS} can be generated by receiver R as $K_{RS} = h(K_R, s, i_s)$, where K_R is receiver R's secret key, s is the sender's name and i_s is a sequence number that is increased for each setup request by sender S. In order to ensure message privacy, the DES encryption standard is preferably used as is set forth in NBS FIPS PUB 81, "DES Modes of Operation," U. S. Department of Commerce (1995), the teachings of which are expressly incorporated herein by reference. In accordance with this standard, the secret key can be generated by S as $K_S = h(K_{RS}, \text{count})$ where "count" is a counter increased for each message sent between sender S and receiver R. This key may be generated without any extra communication between sender S and receiver R. Registration is then completed. Below, it is
15 assumed that registration has already been performed.

At step 130, the email m sent by sender S to receiver R is then processed. At step 140 it is determined whether the email m is valid according to a processed MAC. It is preferable to determine an extension e of receiver R 's email address such that when this extension appears in the email, receiver R will accept the email. Letting $\mu = \text{hash}(m)$, e is defined as MAC $K_{RS}(\mu)$. Receiver R then computes key K_{RS} for the alleged senders of the email and calculates e . The email is accepted at step 150 if and only if the same extension of receiver R 's address is the same as the result calculated for e . Otherwise the email is refused at step 160. Optionally, at step 165 the email is then bounced back to S and at step 166 S may attach the cost item and send it to R . It may then be determined at step 168 whether R wishes to attempt validation again and if so the method then returns to step 140. Otherwise, the method stops at step 170. Alternately at step 140, instead of using an address extension, the MAC can be communicated in an available header of the email.

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Figure 3 is a flow chart of an alternate embodiment of preventing spam. This method starts at step 180 and at step 190 the email is presented to a receiver. At step 200, the receiver specifies whether this is a "good" email, i.e. one that is received from an allowed sender. This is determined at step 210 and if it is a good mail, the response is needed at step 220. However, if it is not a "good" email at step 230 the receiver may send email to the sender stating that the sender is not on the allowed list. At this point the registration process described above, or an alternative to such a registration process may ensue, or the email may be discarded at step 240. The method would then stop at step 250.

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Figure 4 depicts yet a further preferred embodiment of a method for preventing spamming in accordance with the invention. The method begins at step 260 and at step 270, the sender sends email to a receiver. At step 280, the receiver checks if a MAC is present and valid. It is determined at step 290 whether the MAC is present and valid and if so, the method may stop or go to step 190 (Figure 3) where the verification procedure occurs. If not, then at step 300 it is determined whether registration as described above should occur. If not, then the method stops at step 310. If so, then at step 320 the receiver may send an email to the sender requesting setup. At step 330, the setup and registration and setup information is received. Then, at step 340 the registration information is verified.

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It is then preferably determined at step 350 whether the verification is adequate. If not, then the method may return to step 230 (Figure 3) or may stop at step 360. If so, then at step 370 the information is entered on the list and this sender is now authorized to send emails to the receiver. The method then stops.

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The inventive methods are thus effective to ensure that unwanted spam does not corrupt a participant in an email system. The methods also ensure that the system does not become clogged with superfluous emails that could endanger the system's integrity and even shut the system down. The inventive techniques may also be utilized as a message categorizer wherein all incoming emails are sorted according to sender and receiver specific categories. In this fashion, a sender may request a higher or lower priority by indicating this in a field that gets authenticated along with the message. The methods of the present invention are computationally inexpensive and quickly implementable in existing email systems. Moreover, these methods

cannot be easily overcome by even the most sophisticated of adversaries determined to blanket the system with spam. Such results have not heretofore been achieved in the art.

While there have been shown and described certain fundamental novel features of the present invention as applied to preferred embodiments thereof, it will be understood by those skilled in the art that various omissions and substitutions and changes in the methods described herein, and in their operation, may be made by those skilled in the art without departing from the spirit and scope of the invention. It is expressly intended that all combinations of those elements and/or method steps which perform substantially the same function in substantially the same way to achieve the same results are within the scope of the invention. Substitutions of elements from one described embodiment to another are also fully intended and contemplated. It is the intention, therefore, to be limited only as indicated by the scope of the claims appended hereto.

CLAIMS

We claim:

1 1. A method for preventing receipt by receivers of unwanted electronic mail
2 messages (email) sent by senders in a communication system, comprising the steps of:

3 determining whether a particular sender is a registered sender of email to the
4 particular receiver, wherein the particular sender becomes a registered sender by satisfying a
5 requirement which will allow the particular sender to become a registered sender of email to the
6 particular receiver;

7 weeding out at a gateway of the communication system all email directed to a
8 particular receiver that originates from senders that are determined not to be registered senders to
9 the particular receiver; and

10 passing to the particular receiver all email directed to the particular receiver and
11 that originates from senders determined to be registered senders of email to the particular
12 receiver.

1 2. The method of claim 1, wherein said determining step comprises the
2 steps of:

3 setting up by the particular sender a cookie which indicates to the particular
4 receiver whether the particular sender has satisfied the requirement to allow the particular sender
5 to become a registered sender to the particular receiver;

6 setting up an address related to an address associated with the particular receiver
7 which will inform the particular sender that the particular receiver desires that the particular
8 sender be able to send email to the particular receiver; and

9 setting up by the particular receiver a key which is forwarded to the particular
10 sender by the particular receiver to inform the particular sender that the particular sender is
11 authorized to send email to the particular receiver and is now a registered sender and for use by
12 the particular sender whenever the particular sender wishes to send email to the particular
13 receiver.

1 3. The method recited in claim 2, wherein said step of setting up the address
2 comprises generating a pseudorandom function with a keyed hash function using an input
3 number comprising a unique serial number for use in generating an identifier for email between
4 the particular sender to the particular receiver.

1 4. The method recited in claim 2, wherein said step of setting up an
2 encrypted address comprises sending email from the particular receiver to the particular sender
3 using public key encryption.

1 5. The method recited in claim 2, wherein said determining step further
2 comprises sending to the particular user by the particular receiver, an encrypted key wherein the
3 encrypted key is a member of a set of encrypted keys.

1 6. The method recited in claim 5, further comprising the step of storing the
2 encrypted key by the particular sender in a table of encrypted keys for use by the particular
3 sender whenever the particular sender desires to send email to the particular receiver.

1 7. The method recited in claim 1, wherein said weeding out step comprises:
2 examining a message authentication code (MAC) by the particular receiver and
3 determining whether the examined MAC is a valid MAC; and
4 rejecting the email sent by the particular sender if the MAC is determined not to
5 be a valid MAC.

1 8. The method of claim 7, wherein said step of MAC determining comprises
2 comparing the MAC against a value determined in said sender determining step and, if the value
3 and the determined MAC are the same, accepting by the particular receiver the email from the
4 sender.

1 9. The method recited in claim 7, wherein said MAC determining step
2 comprises comparing the MAC to an available header in an address of the particular receiver, in
3 the received email message, whereby the MAC is not a valid MAC if the MAC and the header
4 are not identical.

1 10. A server method for preventing receipt by receivers of unwanted
2 electronic mail messages (email) sent by senders in a communication system, comprising:
3 a determining module for determining whether a particular sender is a registered
4 sender of email to the particular receiver, wherein the particular sender becomes a registered

5 sender by satisfying a requirement which will allow the particular sender to become a registered
6 sender of email to the particular receiver;

7 a weeding out module for weeding out at a gateway of the communication system
8 all email directed to a particular receiver that originates from senders that are determined not to
9 be registered senders to the particular receiver; and

10 a passing module for passing to the particular receiver all email directed to the
11 particular receiver and that originates from senders determined to be registered senders of
12 email to the particular receiver.

1 11. The server recited in claim 10, wherein said determining module further
2 comprises a generator for generating a pseudorandom function with a keyed hash function
3 using an input number comprising a unique serial number for use in generating an identifier for
4 email between the particular sender to the particular receiver.

1 12. The server recited in claim 11, wherein said determining module sets up
2 an encrypted address for sending email from the particular receiver to the particular sender
3 using public key encryption.

1 13. The server recited in claim 13, wherein said determining module sends
2 to the particular user by the particular receiver, an encrypted key wherein the encrypted key is
3 a member of a set of encrypted keys.

1 14. The server recited in claim 13, wherein said weeding out module
2 examines a message authentication code (MAC) by the particular receiver and determines
3 whether the examined MAC is a valid MAC, and rejects the email sent by the particular sender
4 if the MAC is determined not to be a valid MAC.

1 15. The method of claim 14, wherein said weeding out module compares the
2 MAC against a value, and if the value and the determined MAC are the same, accepts by the
3 particular receiver the email from the sender.

1 16. The method recited in claim 15, wherein the weeding out module
2 compares the MAC to an available header in an address of the particular receiver, in the
3 received email message, whereby the MAC is not a valid MAC if the MAC and the header are
4 not identical.

ABSTRACT OF THE DISCLOSURE

Methods of preventing spam email in an email system include determining whether a sender of email to a receiver of email has paid a required setup price or cost to become a registered sender of email to the receiver. If it is determined that the sender has not paid the required setup cost, then the receiver can reject the sender's email to thereby eliminate

- 5 the receipt of unwanted spam messages. In order to qualify as a registered sender, the sender undergoes a qualification scheme wherein it pays the required cost, which may be for example monetary or computationally related, and is assigned an encrypted key by the receiver which allows the sender to send to the receiver email authenticated using the unique key associated with the sender and receiver. The receiver has the option of accepting or rejecting email from
10 a sender in this fashion and can change the required setup cost or requirement at any time to ensure that the sender does not try to corrupt the email system once registered.

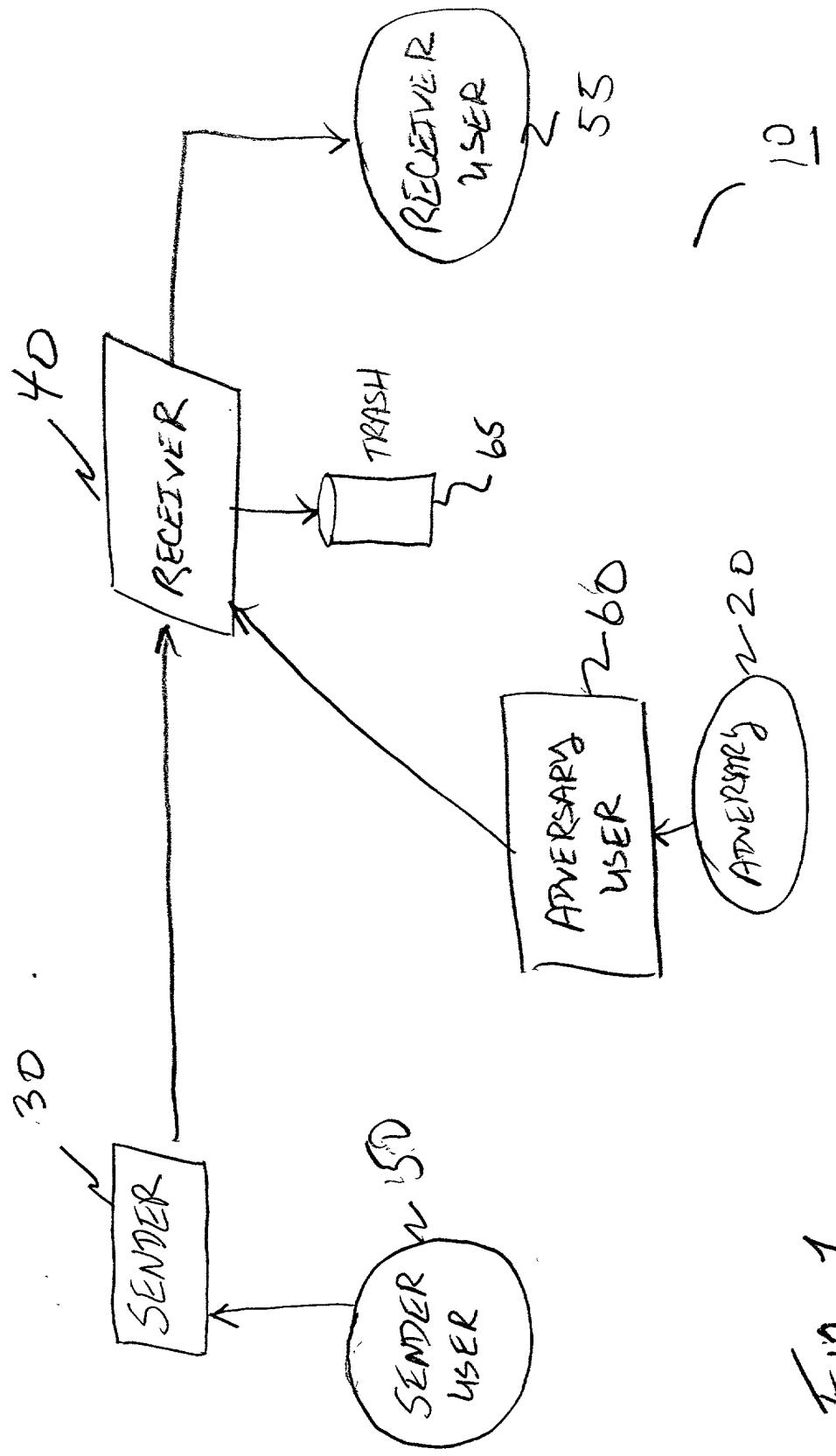
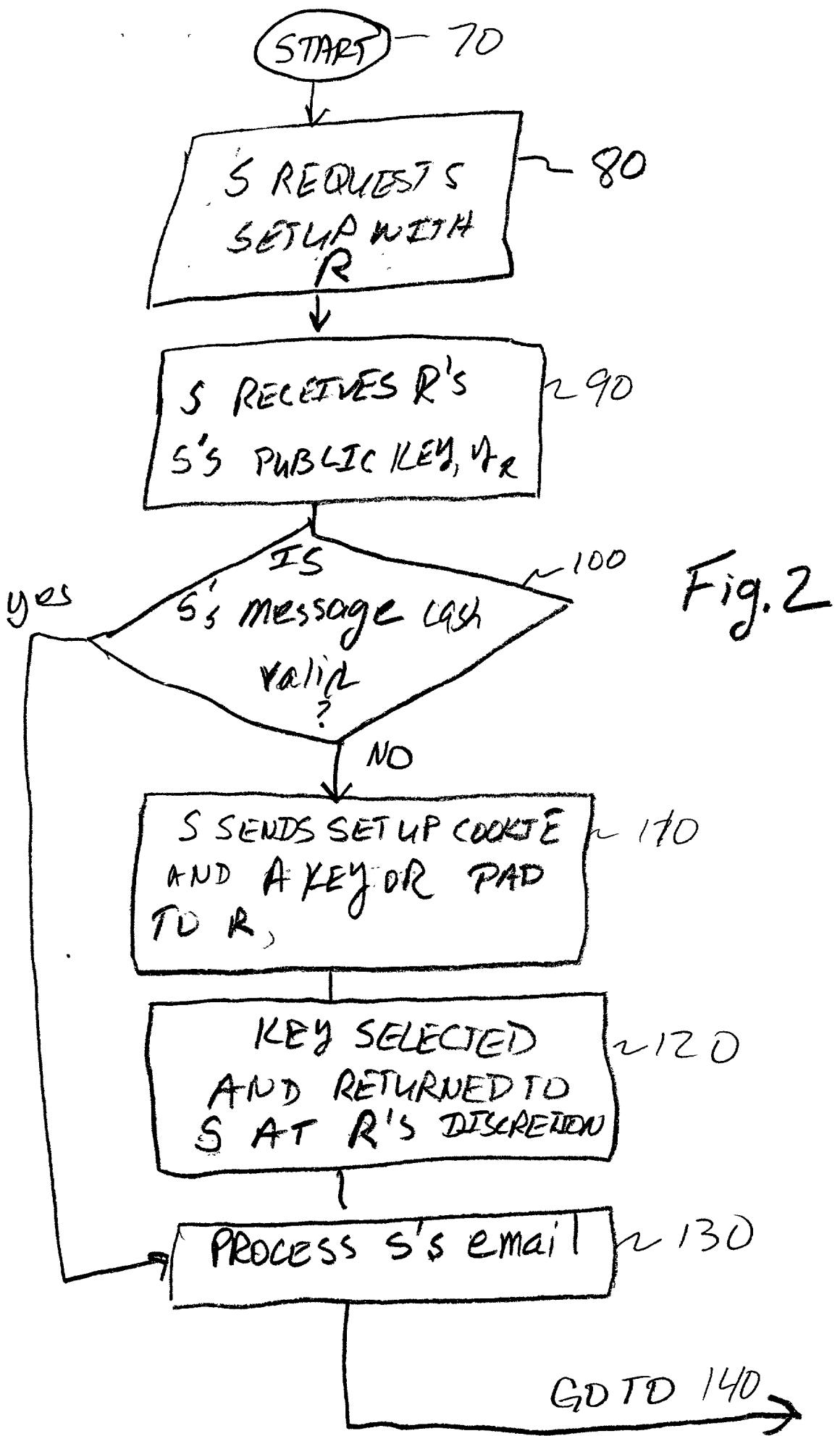


Fig. 1



FROM 130

IS

140

s's email valid
according to MAC

YES

NO

REFUSE
RECEIPT

160

ACCEPT
Email

-150

165

Email bounces
back to S

STOP

NO

170

S attaches cost
item and sends
to R

66

yes

DOES
R WISH TO ATTEMPT
validation again
?

168

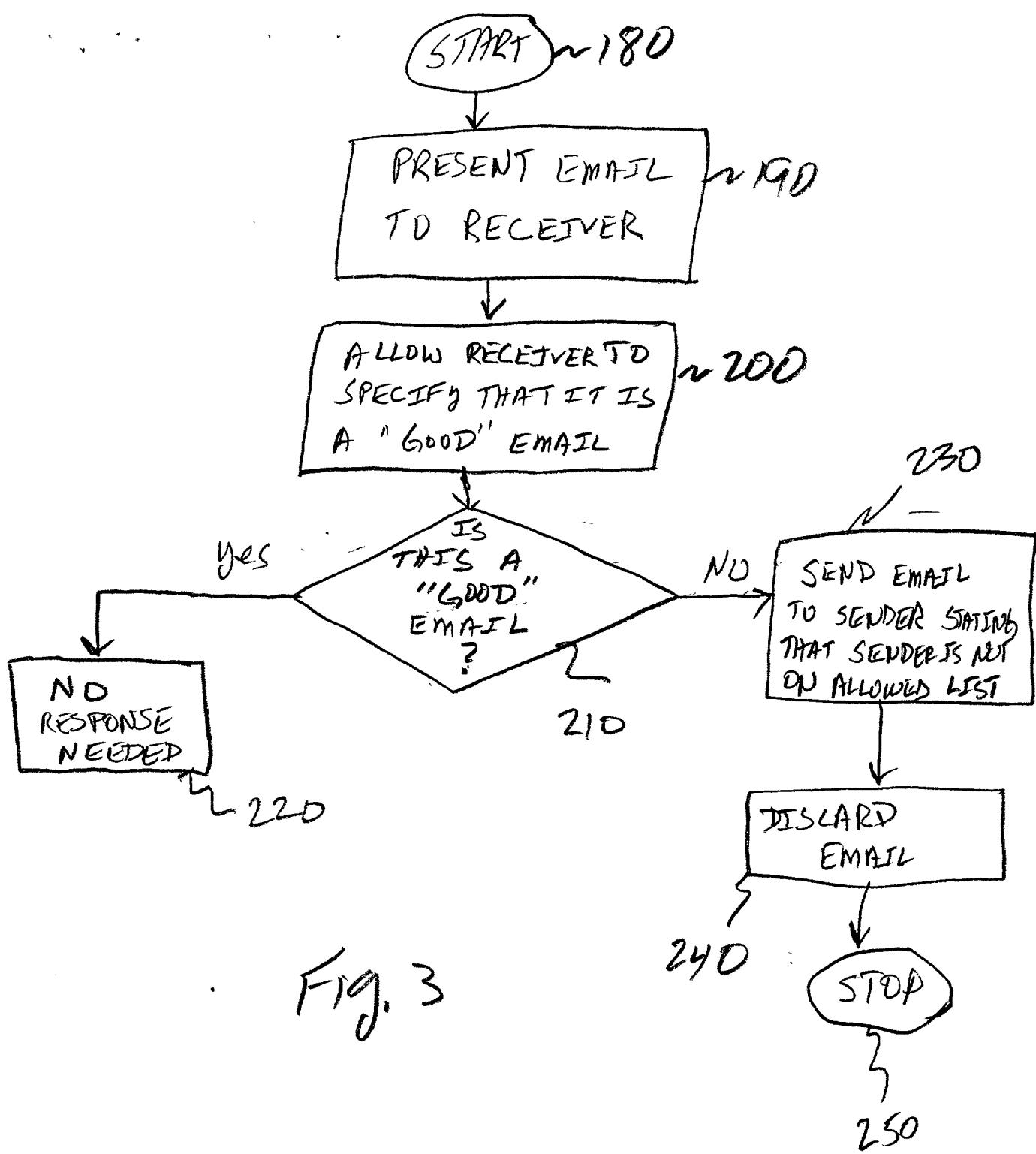


Fig. 3

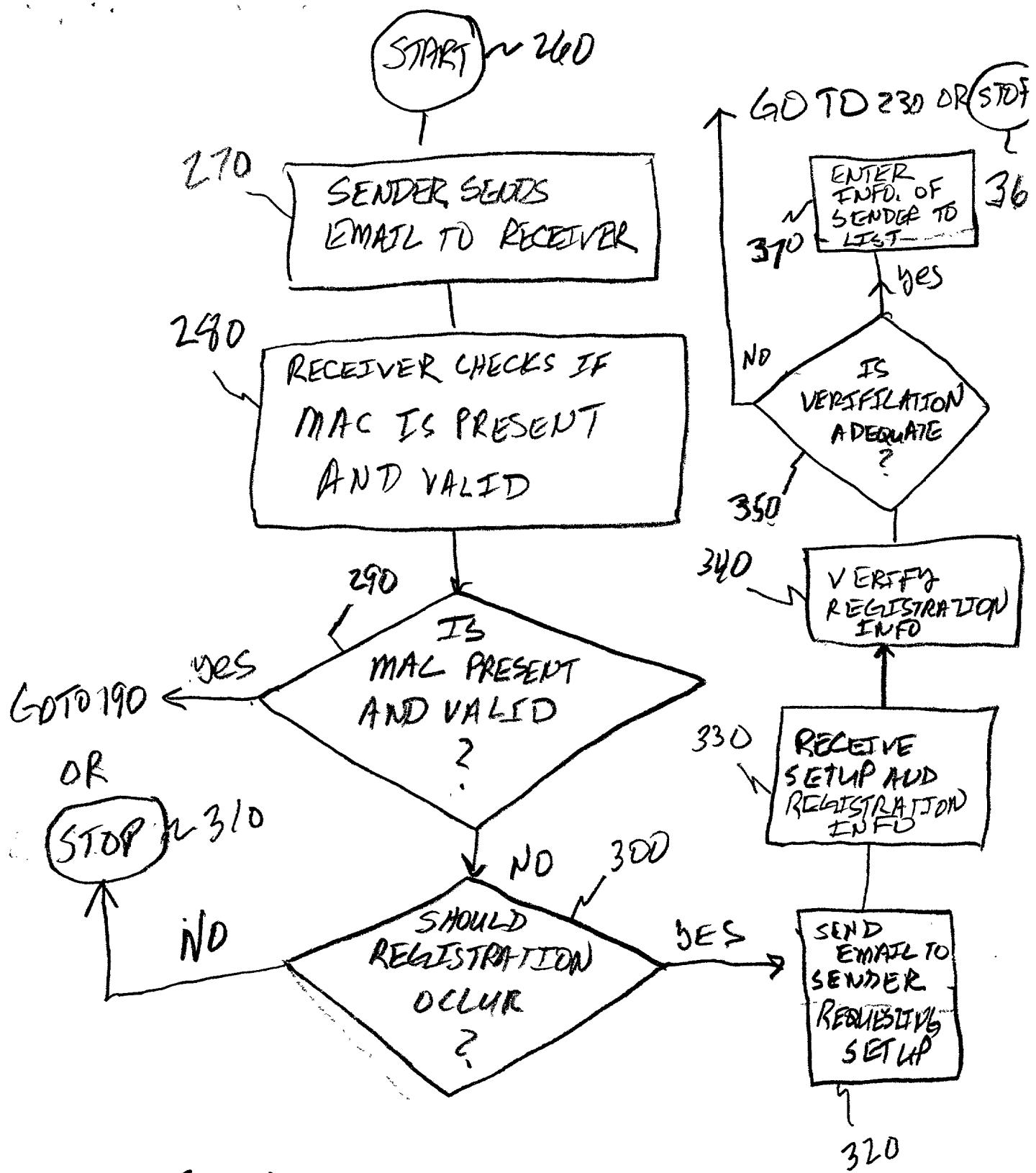


FIG. 4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Declaration and Power of Attorney

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Methods of Protecting Against Spam Electronic Mail

the specification of which *is attached hereto*.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by an amendment, if any, specifically referred to in this oath or declaration.

I acknowledge the duty to disclose all information known to me which is material to patentability as defined in Title 37, Code of Federal Regulations, 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

None

I hereby claim the benefit under Title 35, United States Code, 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, 112, I acknowledge the duty to disclose all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

None

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

I hereby appoint the following attorney(s) with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith:

Lester H. Birnbaum	(Reg. No. 25830)
Richard J. Botos	(Reg. No. 32016)
Jeffery J. Brosemer	(Reg. No. 36096)
Kenneth M. Brown	(Reg. No. 37590)
Craig J. Cox	(Reg. No. 39643)
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John C. Moran	(Reg. No. 30782)
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Charles L. Warren	(Reg. No. 27407)
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Eli Weiss	(Reg. No. 17765)

I hereby appoint the attorney(s) on ATTACHMENT A as associate attorney(s) in the aforementioned application, with full power solely to prosecute said application, to make alterations and amendments therein, to receive the patent, and to transact all business in the Patent and Trademark Office connected with the prosecution of said application. No other powers are granted to such associate attorney(s) and such associate attorney(s) are specifically denied any power of substitution or revocation.

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ATTACHMENT A

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